

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U.S. Department of Energy  
Golden Field Office**

**First Steps Toward Developing Renewable Energy and Energy  
Efficiency on Tribal Lands**

**Funding Opportunity Number: DE-PS36-06GO96038**

**Announcement Type: Initial**

**CFDA Number: 81.087**

**Issue Date: 09/29/2006**

**Application Due Date: 01/23/2007, 11:59 PM Eastern Time**

## **NOTE: REQUIREMENTS FOR GRANTS.GOV**

### **Where to Submit**

Applications must be submitted through Grants.gov to be considered for award. You cannot submit an application through Grants.gov unless you are registered. Please read the registration requirements carefully and start the process immediately. Remember you have to update your CCR registration annually. If you have any questions about your registration, you should contact the Grants.gov Helpdesk at 1-800-518-4726 to verify that you are still registered in Grants.gov.

### **Registration Requirements**

There are several one-time actions you must complete in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). See <http://www.grants.gov/GetStarted>. Use the Grants.gov Organization Registration Checklist at <http://www.grants.gov/assets/OrganizationRegCheck.doc> to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements.

**IMPORTANT NOTICE TO POTENTIAL APPLICANTS: When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e. Grants.gov registration).**

### **Questions**

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). Part VII of this announcement explains how to submit other questions to the Department of Energy (DOE).

### **Application Receipt Notices**

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of five e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to 2 business days from application submission to receipt of email Number 2. You will know that your application has reached DOE when the AOR receives email Number 5. You will need the Submission Receipt Number (email Number 1) to track a submission. The titles of the five e-mails are:

Number 1 – Grants.gov Submission Receipt Number

Number 2 – Grants.gov Submission Validation Receipt for Application Number

Number 3 – Grants.gov Grantor Agency Retrieval Receipt for Application Number

Number 4 – Grants.gov Agency Tracking Number Assignment for Application Number

Number 5 – DOE e-Center Grant Application Received

The last email will contain instructions for the AOR to register with the DOE e-Center. If the AOR is already registered with the DOE e-Center, the title of the last email changes to: Number 5 – DOE e-Center Grant Application Received and Matched. This email will contain the direct link to the application in IIPS. The AOR will need to enter their DOE e-Center user id and password to access the application.

**VERY IMPORTANT – Download PureEdge Viewer**

In order to download the application package, you will need to install PureEdge Viewer. This small, free program will allow you to access, complete, and submit applications electronically and securely. For a free version of the software, visit the following web site:

<http://www.grants.gov/DownloadViewer>.

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## **PART I – FUNDING OPPORTUNITY DESCRIPTION**

### **A. GENERAL INFORMATION**

The Department of Energy's (DOE's) Office of Energy Efficiency and Renewable Energy is soliciting applications from Tribes for financial assistance to support the First Steps Toward Developing Renewable Energy and Energy Efficiency on Tribal Lands. Through grants, DOE intends to provide financial support under the provisions of the Title V of the Energy Policy Act (EPA) of 2005.

DOE's Tribal Energy Program promotes Tribal energy sufficiency and fosters employment and economic development on Tribal Lands through financial and technical assistance to Tribes. It is intended that through these studies, Tribes will obtain sufficient information to make informed decisions about whether to implement conservation measures and/or develop their renewable energy resources. Information on the Tribal Energy Program and previously funded projects is available on the website at [www.eere.energy.gov/tribalenergy](http://www.eere.energy.gov/tribalenergy).

Under this announcement, DOE is soliciting applications from Federally-recognized Tribes (hereafter referred to as "Tribes") for strategic planning, energy options analysis, energy organization development, and human capacity building related to sustainable energy efficiency implementation and/or renewable energy development.

Eligible activities under this announcement include, but are not limited to the following:

- Strategic energy planning
- Energy options analysis or resource planning
- Energy organization development
- Human capacity building

DOE will only consider applications from Tribes on whose Tribal Lands the project will be located. For purposes of this announcement, Federally-recognized Tribes and Tribal Lands are as defined under Part III, Eligibility Information and Appendix A. Applications from a consortium of Tribes will be accepted but must be submitted by a single Tribe representing the consortium.

Energy efficiency applications for buildings include, but are not limited to, the use of energy efficiency for the building envelope, space heating and cooling, water heating, lighting, appliances, office equipment and building electrical equipment. The above list can apply to homes, schools, or tribal government buildings.

Renewable energy uses include, but are not limited to, the use of renewable energy for: direct electrical generation, building uses, water pumping, or other grid connected or off-grid power uses. Examples of renewable energy technologies include, but are not limited to the following: photovoltaic (solar electric), concentrating solar power, solar thermal systems (i.e., active or passive solar technologies for space or water heating), or power generation technologies such as wind, biomass power, hydro, geothermal electric generation, geothermal resources for direct heating and cooling applications, and other renewable or renewable hybrid systems.

A statement of commitment from an authorized representative of the Tribe (Chief, Governor, President, Chairperson or other representative authorized to commit the Tribe) and a statement of commitment from each project participant, are required as a part of the application (see Part IV.C., Content and Form of Application).

Successful applications should include specific objectives, long-term goals, and a comprehensive plan to meet these objectives. The results of the funded activities should result in increased knowledge, organizational or human capacity, or adequate information such that a decision by the Tribe can be made whether to pursue the development of renewable energy or energy efficiency options.

The level of tribal commitment and capabilities of the applicant and project participants to accomplish the project objectives will be major factors in selecting projects for funding. The amount of tribal involvement and tribal statement of commitment will be used to assess the level of tribal commitment to the proposed project. The level and amount of tribal involvement should be specified as part of the Narrative and included in the budget information regardless of whether DOE funds are being requested for this support. The roles of participants, resumes, and subcontract plan will be used to assess the capabilities of the applicant and participants to accomplish the project objectives. If project participants (i.e., subcontractors or consultants) have not been identified, a description of the selection process to be employed, statement of work, and criteria for selection should be provided as an attachment to the application (see Subcontract Plan under Part IV.C., Content and Form of Application).

Selected applicants will be required to document progress in quarterly reports and the results in a final report, as well as present at annual Tribal Energy Program Reviews to be held each Fall in Denver, Colorado. For planning purposes, applicants should plan and budget for attendance at two week-long reviews, one at the beginning of the project and one at project completion.

Applicants are encouraged to indicate where technical assistance, if any, may be of value to the applicant in conducting the proposed project, but should not include the cost for this support as part of their application. As DOE intends to provide technical assistance to Tribes on an as-requested basis through DOE's National Renewable Energy Laboratory and Sandia National Laboratories, applications that propose a portion of the work to be performed by a Federally Funded Research and Development Center (FFRDC), such as a DOE Laboratory, will not be considered for award. For a definition of a FFRDC, see [Federal Acquisition Regulation \(FAR\) 35.017](#).

## **B. ELIGIBLE ACTIVITIES**

Eligible activities under this announcement include, but are not limited to the following:

- Strategic energy planning (Area 1)
- Energy options analysis (Area 2)
- Energy organization development (Area 3)
- Human capacity building (Area 4)

It is expected that each application will primarily address one Area, but may include activities related to the other Areas. Applicants will be asked to identify the particular Area which best describes the proposed project on the cover page of the Narrative File. Applicants may submit more than one application under any or all of the Areas.

Following is a summary of the types of activities anticipated for each of the Areas.

### **1. Strategic Energy Planning**

Results of a strategic planning effort should define a comprehensive energy plan that addresses: "where you are" (baseline assessment), "where do you want to go" (a vision), and "how you're going to get there" (an action plan).

Strategic energy plans should address all possible energy sources including conventional and non-conventional sources, but must include renewable energy and energy efficiency options. This effort is intended to result in a long-term sustainable plan for energy sufficiency or energy development on Tribal Lands.

Strategic planning activities may include, but are not limited to:

- Developing an energy “vision” including a vision statement, goals and objectives
- Identification of viable energy options based on the long-term strategic plan of the tribe
- Developing an action plan

## **2. Energy Options Analysis**

The analysis of energy options should be consistent with the tribal energy vision. An energy options analysis should result in a thorough understanding of tribal energy resources and conservation, analysis of tribal energy loads (current and future energy consumption), and evaluation of commercial energy supply options. The energy options should be measured against tribal screening criteria such that a decision on whether to pursue various energy options can be made. The analysis may consider export of renewable energy resources off Tribal Lands to generate revenue, but should also address energy saving measures and supply to tribal energy loads, thereby addressing energy sufficiency for the tribal community. The results of this effort are intended to be of sufficient depth that a feasibility study of preferred options and business planning can be initiated.

Applicants may propose literature searches or data gathering, but funds are not intended for measuring a specific resource or purchasing resource monitoring equipment.

An energy options analysis may include:

- Identification of energy resources (renewable and non-renewable) including conservation (i.e., energy efficiency)
- Assessment of tribal energy needs for local consumption or use (i.e., energy loads analysis)
- Assessment of renewable energy export off Tribal Lands (market analysis), if applicable
- Forecast of future energy needs for local consumption and for export, if applicable
- Identification of commercial energy efficiency and renewable energy technology options
- Screening of energy options relative to the tribal long-term strategic plan
- Developing an implementation plan

## **3. Energy Organization Development**

This Area is intended for the planning and/or establishment of an energy organization such as a utility, energy office, Energy Service Company (ESCO), tribal committee, or other organizational unit; or the enhancement of an existing energy function or organizational unit. This effort is expected to be in response to a specific need or goal of the Tribe, be of limited duration with clear measurable results or end-products, and have identified sources of funding or revenue to sustain the operation beyond DOE funding. Energy Organizational Development activities may be proposed in conjunction with other Areas or as part of another Area.

Activities may include, but are not limited to:

- Evaluation of organizational structures as they relate to the Tribe's long-term strategic energy plan and implementation opportunities (i.e., utility, energy office, ESCO, tribal committee, or other organizational unit)
- Establishment of an energy organization or tribal unit for managing tribal energy resources or implementing the tribal strategic energy plan
- Enhancement of an existing tribal energy organizational unit or function for managing tribal energy resources or implementing the tribal strategic energy plan
- Development of energy policies or codes
- Establishment of regional intertribal energy collaboratives

#### **4. Human Capacity Building**

Human capacity building activities are intended to be associated with increasing the capabilities, knowledge base, awareness, or expertise of tribal members for implementation of a tribal strategic energy plan. Applications under this area should provide a correlation between the proposed activities and the strategic plan or energy development activities of the Tribe. This effort is expected to be in response to a specific need or goal of the Tribe and be of limited duration with clear measurable results or end-products. Applications in this Area should clearly define how the new capabilities will be integrated into existing tribal activities. Human Capacity Building activities may be proposed in conjunction with the other Areas or as part of another Area.

Human capacity building may include such activities as:

- Training
- Workshops
- Participation in meetings or conferences
- Internship programs
- Community meetings or workshops
- Development of renewable energy or energy efficiency informational materials for the tribal community

### **C. MERIT REVIEW CRITERION DISCUSSION**

The Merit Review Criterion Discussion to be included as part of the Project Narrative File should address each of the following. See Part IV.C., Content and Form of Application, for additional instructions on the application content.

#### **Section I: Project Description**

- Provide a concise overview of the proposed project including a discussion of the goals of the Tribe and objectives of the project.
- Provide an overview of the Tribal structure, location, and demographics.
- Describe how the proposed project integrates with the cultural, social, and long-term self-sufficiency or economic goals of the Tribe.
- Provide any relevant background information.

#### **Section II: Level of Tribal Commitment**

- Describe the Tribal commitment to the project. Supply a letter of commitment from an authorized representative of the Tribe and a statement of commitment from each participant as an attachment (see Statement of Commitment and Cost Sharing File under Part IV.C.,



Content and Form of Application).

- Describe the amount of involvement of the Tribe and tribal members in conducting the project, whether DOE funds are being requested for that support or not.
- Describe how the results of the proposed project will be integrated into future tribal decisions.

### **Section III: Roles, Responsibilities and Capabilities**

Provide a description of the management concept including the names and roles of the applicant and each participant involved in the project, as well as business agreements between the applicant and participants (i.e., consultants or subcontractors). The descriptions shall encompass the following:

- 1) Management approach for implementing the proposed project, including organizational and individual responsibilities;
- 2) Capabilities of the applicant and each participant and a brief summary of experience and qualifications (Include individual resumes under Part IV.C, Resume File);
- 3) If consultants or contractors have not been identified, indicate that in the narrative and supply a subcontract plan as an attachment (See Subcontract Plan under Part IV.C., Content and Form of Application).

### **Section IV: Project Activities and Schedule**

Provide a description that includes the following:

- 1) Summary of the approach for implementing the project;
- 2) Detailed task-oriented description of activities to be performed under the proposed project; and
- 3) Schedule of milestones coupled with a timeline of activities or tasks to be conducted including a Gantt chart or task schedule. Successful applicants must use this project timeline to report quarterly progress.

DOE's obligation for performance of this announcement is contingent upon the availability of appropriated funds from which financial assistance awards can be made. No legal liability on the part of DOE may arise for performance until funds are appropriated and awards are made.

## **PART II – AWARD INFORMATION**

### **A. TYPE OF AWARD INSTRUMENT.**

DOE anticipates awarding grants under this program announcement.

### **B. ESTIMATED FUNDING.**

Subject to Congressional appropriations, approximately \$500,000 to \$1,000,000 is expected to be available for awards in FY 2007 and an additional \$250,000 to \$500,000 for awards selected from this announcement in FY 2008.

The actual level of funding, if any, depends on the appropriations for this program. However, we are inviting applications to allow enough time to complete the award process, in the event that Congress appropriates funds for this program.

### **C. MAXIMUM AWARD SIZE.**

Ceiling (i.e., the maximum amount for an individual award made under this announcement): \$100,000

**D. EXPECTED NUMBER OF AWARDS.**

DOE anticipates making 5 to 10 awards under this announcement in FY2007 and 2 to 5 awards in FY2008, depending on the size of the awards.

**E. ANTICIPATED AWARD SIZE.**

DOE anticipates that awards will be in the \$50,000 to \$100,000 range for the total project period.

**F. PERIOD OF PERFORMANCE.**

DOE anticipates making awards with terms from one to two years.

**PART III - ELIGIBILITY INFORMATION**

**A. ELIGIBLE APPLICANTS.**

- In accordance with 10 CFR 600.6(b), eligibility for award is restricted to Federally-recognized Tribes on whose Tribal Lands the projects will be located.

For purposes of the announcement and as defined as “Indian Tribe” in Title V of EPA Act 2005, “Federally-recognized Tribe” is any Indian tribe, band, nation or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688) [43 U.S.C. §§ 1601 et seq.], which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Applications from a consortium of Tribes will only be accepted if submitted by a single Tribe representing the consortium.

For purposes of this announcement, “Tribal Lands” includes Indian reservations; public domain Indian allotments; dependent Indian communities within the borders of the United States whether within the original or subsequent acquired territory thereof, and whether within or outside the boundaries or any State or States; any land or interests in land owned by an Indian tribe, title to which is held in trust by the United States, or is subject to a restriction against alienation under the laws of the United States; land held by incorporated Native Groups, regional corporations, and village corporations under the provisions of the Alaska Native Claims Settlement Act (43 U.S.C. § 1601 et seq.); and lands held in fee simple or under a Federal land lease.

- Applications that propose a portion of the work to be performed by a Federally Funded Research and Development Center (FFRDC), as defined by Federal Acquisition Regulation (FAR) 35.017, will not be considered for award.

**B. COST SHARING.**

Cost sharing is not required, but encouraged. Technically acceptable applications that include cost share will be given additional consideration in the selection process.

**PART IV – APPLICATION AND SUBMISSION INFORMATION**

**A. ADDRESS TO REQUEST APPLICATION PACKAGE.**

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download

Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement and then follow the prompts to download the application package. **NOTE:** You will not be able to download the Application Package unless you have installed PureEdge Viewer (See: <http://www.grants.gov/DownloadViewer>).

**B. LETTER OF INTENT AND PRE-APPLICATION.**

Neither Letters of Intent, nor Pre-applications are required.

**C. CONTENT AND FORM OF APPLICATION – SF 424**

You must complete the mandatory forms and any applicable optional forms (e.g., SF-LLL-Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions below. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.**

**1. SF 424 - Application for Federal Assistance.**

Complete all required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the “Help Mode” (Icon with the pointer and question mark at the top of the form). The list of certifications and assurances referenced in Field 21 can be found on the Applicant and Recipient Page at <http://grants.pr.doe.gov>, under Certifications and Assurances.

**2. Other Attachments Form**

Submit the following files with your application and attach them to the Other Attachments Form. Click on “Add Mandatory Other Attachment” to attach the Project Narrative File. Click on “Add Optional Other Attachment,” to attach the other files.

**Project Summary/Abstract File**

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project director/principal investigator(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information as the Department may make it available to the public. The project summary must not exceed 1 page when printed using standard 8.5” by 11” paper with 1” margins (top, bottom, left and right) with font not smaller than 11 point. Save this information in a file named “Summary.pdf,” and click on “Add Optional Other Attachment” to attach.

**Project Narrative File – Mandatory Other Attachment**

The project narrative must not exceed 10 pages, including the cover page, table of contents, charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right). **EVALUATORS WILL REVIEW ONLY THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE.** The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application. See Part VIII.D for instructions on how to mark proprietary application information. Save the information in a single file named “Project.pdf,” and click on “Add Mandatory Other Attachment” to attach.

The project narrative must include:

- Cover Page  
The cover page must indicate the name of the Tribe, reservation location (City and State), Funding Opportunity Announcement Number (DE-PS36-06GO96037), focus Area of the application (see Part I.B.) and both the technical and business points of contact for the Tribe, denoting the names, titles, addresses, telephone and facsimile numbers, and electronic mail addresses. The business contact should be a representative of the Tribe with the authority to enter into an agreement on the Tribe's behalf, as all of DOE's official correspondence for this announcement will be addressed to the business point of contact identified. The cover page should also identify the name and type of organization of key participants (i.e., consultants or contractors), along with the names, titles, addresses, telephone and facsimile, and electronic mail addresses of participant contacts.
- Table of Contents  
The narrative shall include a table of contents and page numbers corresponding to the elements outlined in these guidelines.
- Merit Review Criterion Discussion  
The section should be formatted to address each of the merit review criterion and sub-criterion listed in Part V.A. Provide sufficient information so that reviewers will be able to evaluate the application in accordance with these merit review criteria. DOE WILL EVALUATE AND CONSIDER ONLY THOSE APPLICATIONS THAT ADDRESS SEPARATELY EACH OF THE MERIT REVIEW CRITERION AND SUB-CRITERION.

#### **Statement of Commitment and Cost Sharing File**

Include a statement of commitment from an authorized representative of the Tribe (Chief, Governor, President, Chairperson or other representative authorized to commit the Tribe), and a statement of commitment from each project participant. Save this information in a file named "Commitments.pdf," and click on "Add Optional Other Attachment" to attach.

A statement of the level and type of cost share commitments from each contributor (i.e., Tribe, major subcontractors, or other participants) shall also be provided. A detailed estimate of the cash value (basis of and the nature of; e.g., equipment, labor, facilities, cash, etc.) of all contributions to the project by each participant must be provided. Note that "Cost Sharing" is not limited to cash investment. In-kind contributions (e.g., contribution of services or property; donated equipment, buildings, or land; donated supplies; or unrecovered indirect costs) incurred as part of the project may be considered as all or part of the Cost Share. The "Cost Sharing" definition is contained in 10 CFR 600.30, 600.101, 600.123, 600.224, and OMB Circular A-110. Foregone fee or profit by the applicant shall not be considered cost sharing under any resulting Award. Reimbursement of actual costs will only include those costs that are reasonable, allowable and allocable to the project as determined in accordance with the applicable cost principles prescribed in 10 CFR 600.127 and 10 CFR 600.224 for the respective participants.

### **Subcontract Plan File**

A subcontract plan is required if project participants (i.e., subcontractors or consultants) have not been identified. Include a description of the selection process to be employed, statement of work, and criteria for selection. Save this information in a file named "SubcontractPlan.pdf," and click on "Add Optional Other Attachment" to attach.

### **Requested Technical Assistance File**

As DOE intends to provide support through DOE research laboratories, applicants are encouraged to indicate where technical assistance, if any, from DOE or its Laboratories may be of value to the applicant in conducting the proposed project. Provide a summary of the types of technical support requested from DOE or its Laboratories. Save this information in a file named "TechnicalAssistance.pdf," and click on "Add Optional Other Attachment" to attach.

DOE's National Renewable Energy Laboratory (NREL) or Sandia National Laboratory (SNL) will provide technical support to the DOE Golden Field Office, provide technical review of the resultant projects, and provide technical support to the resultant projects. The DOE Laboratory involvement will be advisory only. This general support need not be identified, unless there is a specific area of support identified.

Information on resources at the National Renewable Energy Laboratory (NREL) can be obtained at [www.nrel.gov](http://www.nrel.gov) and information on the Sandia National Laboratory can be obtained at [www.sandia.gov](http://www.sandia.gov).

### **Resume File**

Provide a resume for each key person (Tribal representative, consultant, or contractor) proposed. A key person is any individual who contributes in a substantive, measurable way to the execution of the project. This file should be included as an attachment file rather than with the narrative file (these resumes will not count against the page limit). Save all resumes in a single file named "resume.pdf" and click on "Add Optional Other Attachment" to attach.

Each resume must not exceed 2 pages when printed on 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right) with font not smaller than 11 point.

### **SF 424 A Excel, Budget Information – Non-Construction Programs File**

You must provide a separate budget for each year of support requested and a cumulative budget for the total project period. Use the SF 424 A Excel, "Budget Information – Non Construction Programs" form on the Applicant and Recipient Page at <http://grants.pr.doe.gov>. You may request funds under any of the Object Class Categories as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement (See PART IV, G). Save the information in a single file named "SF424A.xls," and click on "Add Optional Other Attachment" to attach.

### **Budget Justification File**

You must justify the costs proposed in each Object Class Category/Cost Classification category (e.g., identify key persons and personnel categories and the estimated costs for each person or category; provide a list of equipment and cost of each item; identify proposed subaward/consultant work and cost of each subaward/consultant; describe purpose of proposed travel, number of travelers and number of travel days; list general

categories of supplies and amount for each category; and provide any other information you wish to support your budget). Provide the name of your cognizant/oversight agency, if you have one, and the name and phone number of the individual responsible for negotiating your indirect rates. If cost sharing is being proposed, identify the following information for each third party contributing cost sharing: (1) the name of the organization; (2) the proposed dollar amount to be provided; (3) the amount as a percentage of the total project cost; and (4) the proposed cost sharing – cash, services, or property. Save the budget justification information in a single file named “Budget.pdf,” and click on “Add Optional Other Attachment” to attach.

#### **Subaward Budget File(s)**

You must provide a separate budget (i.e., budget for each budget year and a cumulative budget) for each subawardee or consultant that is expected to perform work estimated to be more than \$100,000 or 50 percent of the total work effort (which ever is less). Use the SF 424 A Excel for Non Construction Programs or the SF 424 C Excel for Construction Programs. These forms are found on the Applicant and Recipient Page at <http://grants.pr.doe.gov>. Save each Subaward budget in a separate file. Use up to 10 letters of the subawardee’s name (plus .xls) as the file name (e.g., ucla.xls or energyres.xls), and click on “Add Optional Other Attachment” to attach.

#### **SF-LLL Disclosure of Lobbying Activities**

If applicable, complete SF- LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

#### **Summary of Required Forms/Files**

Your application must include the following documents:

<b>Name of Document</b>	<b>Format</b>	<b>File Name</b>
SF 424 - Application for Federal Assistance	PureEdge Form	N/A
Other Attachments Form: Attach the following files to this form:	PureEdge Form	N/A
Project Summary/Abstract File	PDF	Summary.pdf
Project Narrative File	PDF	Project.pdf
Statement of Commitment and Cost Sharing File	PDF	Commitments.pdf
Subcontract Plan File	PDF	SubcontractPlan.pdf
Requested Technical Assistance File	PDF	TechnicalAssistance.pdf
Resume File	PDF	Resume.pdf
SF 424A Excel - Budget Information	Excel	SF424A.xls

for Non-Construction Programs File		
Budget Justification File	PDF	Budget.pdf
Subaward Budget File(s), if applicable	Excel	See Instructions
SF-LLL Disclosure of Lobbying Activities, if applicable	PureEdge Form	N/A

#### D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS.

If selected for award, DOE reserves the right to request additional or clarifying information for any reason deemed necessary, including, but not limited to:

- Indirect cost information
- Other budget information
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
- Representation of Limited Rights Data and Restricted Software, if applicable

#### E. SUBMISSION DATES AND TIMES.

##### 1. Pre-application Due Date.

Pre-applications are not required.

##### 2. Application Due Date.

- Applications must be received by January 23, 2007, 11:59 PM Eastern Time. You are encouraged to transmit your application well before the deadline and to confirm that your application has been received. Allow sufficient time to transmit your application and to confirm receipt which may take a number of days (see Section Part IV.G.). Also be aware that the Grants.gov Helpdesk is not available after 9:00 PM Eastern Time. **ONLY APPLICATIONS RECEIVED BY THE DEADLINE WILL BE REVIEWED OR CONSIDERED FOR AWARD.**
- This program is not subject to Executive Order 12372 – Intergovernmental Review of Federal Programs.

#### F. FUNDING RESTRICTIONS.

Cost Principles. Costs must be allowable in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600. The cost principles for commercial organization are in FAR Part 31.

Pre-award Costs. Recipients may charge to an award resulting from this announcement pre-award costs that were incurred within the ninety (90) calendar day period immediately preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 10 CFR part 600. Recipients must obtain the prior approval of the contracting officer for any pre-award costs that are for periods greater than this 90 day calendar period.

Pre-award costs are incurred at the applicant's risk. DOE is under no obligation to reimburse such costs if for any reason the applicant does not receive an award or if the award is made for a lesser amount than the applicant expected.

## G. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS

### 1. Where to Submit.

**APPLICATIONS MUST BE SUBMITTED THROUGH GRANTS.GOV TO BE CONSIDERED FOR AWARD.** Submit electronic applications through the “Apply for Grants” function at [www.Grants.gov](http://www.Grants.gov). If you have problems completing the registration process or submitting your application, call Grants.gov at 1-800-518-4726 or send an email to [support@grants.gov](mailto:support@grants.gov).

### 2. Registration Process.

You must COMPLETE the one-time registration process (all steps) before you can submit your first application through Grants.gov (See [www.grants.gov/GetStarted](http://www.grants.gov/GetStarted)). **We recommend that you start this process at least three weeks before the application due date.** It may take 21 days or more to complete the entire process. Use the Grants.gov Organizational Registration Checklists at <http://www.grants.gov/assets/OrganizationRegCheck.doc> to guide you through the process. **IMPORTANT:** During the CCR registration process, you will be asked to designate an E-Business Point of Contact (EBIZ POC). The EBIZ POC must obtain a special password called “Marketing Partner identification Number” (MPIN). When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e. Grants.gov registration).

### 3. Application Receipt Notices

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of four e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to 2 business days from application submission to receipt of email Number 2. You will know that your application has reached DOE when the AOR receives email Number 4. You will need the Submission Receipt Number (email Number 1) to track a submission. The titles of the four e-mails are:

Number 1 - Grants.gov Submission Receipt Number  
Number 2 - Grants.gov Submission Validation Receipt for Application Number  
Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number  
Number 4 - Grants.gov Agency Tracking Number Assignment for Application Number  
Number 5 - DOE e-Center Grant Application Received

The last email will contain instructions for the AOR to register with the DOE e-Center. If the AOR is already registered with the DOE e-Center, the title of the last email changes to: Number 5 – DOE e-Center Grant Application Received and Matched

This email will contain the direct link to the application in IIPS. The AOR will need to enter their DOE e-Center user id and password to access the application.



## Part V - APPLICATION REVIEW INFORMATION

### A. CRITERIA

#### 1. Initial Review Criteria.

Prior to a comprehensive merit evaluation, DOE will perform an initial review to determine that: 1) the applicant is eligible for an award; 2) the information required by the announcement has been submitted; and 3) all mandatory requirements are satisfied.

#### 2. Merit Review Criteria.

The following factors will be used to evaluate applications:

##### **Criteria 1: Perceived Value**

**Weight: 30%**

Value of the project as it relates to the development of renewable energy and energy efficiency, and tribal energy sufficiency

##### **Criteria 2: Level of Tribal Commitment**

**Weight: 25%**

Level of commitment of the Tribe as evidenced by the amount of tribal involvement, statement of commitment, and plans for use of the project results

##### **Criteria 3: Roles, Responsibilities, and Capabilities**

**Weight: 25%**

Capabilities of the applicant and participants to comprehensively address all aspects of the proposed project or reasonableness of the plan to obtain qualified participants (i.e., subcontractors or consultants)

##### **Criteria 4: Project Activities and Schedule**

**Weight: 20%**

Logical and viable plan for achieving project objectives

#### 3. Other Selection Factors.

The selection official will consider the following program policy factors in the selection process:

- Geographic diversity of selected projects
- Level of Cost Sharing above the minimum

### B. REVIEW AND SELECTION PROCESS.

#### 1. Merit Review.

All timely applications that have been determined, through the initial review, to meet the minimum application qualifications will be subjected to a merit review in accordance with the guidance provided in the "Department of Energy Merit Review Guide for Financial Assistance and Unsolicited Proposals." This guide is available under Financial Assistance, Regulations and Guidance at <http://professionals.pr.doe.gov/ma5/ma-5web.nsf/?Open>. The merit review will be composed of preliminary and comprehensive technical reviews using the criterion specified in the announcement. Those applications that are not responsive to the objectives of the funding opportunity announcement or are considered less than satisfactory during the preliminary technical review will not be forwarded for a comprehensive review. All applicants will be notified of whether their applications were selected for negotiation of award, or not, following the comprehensive review and selection process.

**2. Selection.**

The Selection Official will consider the merit review recommendation, program policy factors, and the amount of funds available.

**3. Discussions and Award.**

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including, but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR part 600; and/or (4) special terms and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

**C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES.**

DOE anticipates notifying applicants selected for negotiation of award by June 30, 2007 and making awards by September 30, 2007.

**Part VI - AWARD ADMINISTRATION INFORMATION**

**A. AWARD NOTICES.**

**1. Notice of Selection.**

DOE will notify applicants selected for negotiation of award. This notice of selection is not an authorization to begin performance. (See Part IV.F with respect to the allowability of pre-award costs.)

Organizations whose applications have not been selected will be advised, in writing, as promptly as possible that they were not selected and why.

**2. Notice of Award.**

A Notice of Financial Assistance Award issued by the contracting officer is the authorizing award document. It normally includes, either as an attachment or by reference: 1. Special Terms and Conditions; 2. Applicable program regulations, if any; 3. Application as approved by DOE/NNSA.; 4. DOE assistance regulations at 10 CFR Part 600, or, for Federal Demonstration Partnership (FDP) institutions, the FDP terms and conditions; 5. National Policy Assurances To Be Incorporated As Award Terms; 6. Budget Summary; and 7. Federal Assistance Reporting Checklist, which identifies the reporting requirements.

**B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.**

**1. Administrative Requirements.**

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR part 600 (See: <http://ecfr.gpoaccess.gov>), except for grants made to Federal Demonstration Partnership (FDP) institutions. The FDP terms and conditions and DOE FDP agency specific terms and conditions are located on the National Science Foundation web site at [http://www.nsf.gov/awards/managing/fed\\_dem\\_part.jsp](http://www.nsf.gov/awards/managing/fed_dem_part.jsp).

**2. Special Terms and Conditions and National Policy Requirements.**

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative

Agreements are located at <http://grants.pr.doe.gov>. The National Policy Assurances To Be Incorporated As Award Terms are located at <http://grants.pr.doe.gov>.

**Intellectual Property Provisions.**

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at [http://www.gc.doe.gov/techtrans/sipp\\_matrix.html](http://www.gc.doe.gov/techtrans/sipp_matrix.html).

**C. REPORTING.**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement. The proposed Checklist for this program is [https://www.eere-pmc.energy.gov/procurenet/FinancialAssistance/Forms/DOE\\_Forms/DOEF4600\\_2.doc](https://www.eere-pmc.energy.gov/procurenet/FinancialAssistance/Forms/DOE_Forms/DOEF4600_2.doc).

**PART VII - QUESTIONS/AGENCY CONTACTS**

**A. QUESTIONS**

Questions regarding the content of the announcement must be submitted through the "Submit Question" feature of the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>. Locate the program announcement on IIPS and then click on the "Submit Question" button. Enter required information. You will receive an electronic notification that your question has been answered. DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). DOE cannot answer these questions.

**B. Agency Contact**

Name: Hank Eggink  
E-mail: [hank.eggink@go.doe.gov](mailto:hank.eggink@go.doe.gov)  
Telephone: (303) 275-4825

**All questions should be submitted through the "Submit Question" feature of IIPS (See Section A in this Part)**

**PART VIII - OTHER INFORMATION**

**A. MODIFICATIONS.**

Notices of any modifications to this announcement will be posted on Grants.gov and the DOE Industry Interactive Procurement System (IIPS). You can receive an email when a modification or an announcement message is posted by joining the mailing list for this announcement through the link in IIPS. When you download the application at Grants.gov, you can also register to receive notifications of changes through Grants.gov.

**B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE.**

DOE reserves the right, without qualification, to reject any or all applications received in response to this announcement and to select any application, in whole or in part, as a basis for negotiation and/or award.

**C. COMMITMENT OF PUBLIC FUNDS.**

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

**D. PROPRIETARY APPLICATION INFORMATION.**

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in an application only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the applicant includes the following legend on the first page of the project narrative and specifies the pages of the application which are to be restricted:

"The data contained in pages \_\_\_\_\_ of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government's right to use or disclose data obtained without restriction from any source, including the applicant."

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

"The following contains proprietary information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation."

**E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL.**

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

**F. NOTICE OF RIGHT TO CONDUCT A REVIEW OF FINANCIAL CAPABILITY.**

DOE reserves the right to conduct an independent third party review of financial capability for applicants that are selected for negotiation of award (including personal credit information of principal(s) of a small business if there is insufficient information to determine financial capability of the organization).

## APPENDICES

### Appendix A – Definitions

**“Amendment”** means a revision to a Funding Opportunity Announcement.

**"Applicant"** means the legal entity or individual signing the application. This entity or individual may be one organization or a single entity representing a group of organizations (such as a Consortium) that has chosen to submit a single application in response to a Funding Opportunity Announcement.

**"Application"** means the documentation submitted in response to a Funding Opportunity Announcement. NOTE: Application is referred to as Proposal in IIPS.

**“Authorized Organization Representative (AOR)”** is the person with assigned privileges who is authorized to submit grant applications through Grants.gov on behalf of an organization. The privileges are assigned by the organization’s E-Business Point of Contact designated in the CCR.

**"Award"** means the written documentation executed by a DOE Contracting Officer, after an applicant is selected, which contains the negotiated terms and conditions for providing Financial Assistance to the applicant. A Financial Assistance Award may be either a Grant or a Cooperative Agreement.

**"Budget"** means the cost expenditure plan submitted in the application, including both the DOE contribution and the applicant cost share.

**"Budget Period"** means an interval of time, specified in the award, into which a project is divided for budgetary purposes.

**"Consortium (plural consortia)"** means the group of organizations or individuals that have chosen to submit a single application in response to a Funding Opportunity Announcement.

**"Contracting Officer"** means the DOE official authorized to execute Awards on behalf of DOE and who is responsible for the business management and non-program aspects of the Financial Assistance process.

**"Cooperative Agreement"** means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and Substantial Involvement (see definition below) is anticipated between DOE and the applicant during the performance of the contemplated activity.

**"Cost Sharing"** means the respective share of total project costs to be contributed by the applicant and by DOE. The percentage of applicant cost share is to be applied to the total project cost (i.e., the sum of applicant plus DOE cost shares) rather than to the DOE contribution alone.

**“Central Contractor Registry (CCR)”** is the primary database which collects, validates, stores and disseminates data in support of agency missions. Funding Opportunity Announcements which require application submission through Grants.gov require that the organization first be registered in the CCR at <http://www.grants.gov/CCRRegister>.

**“Credential Provider”** is an organization that validates the electronic identity of an individual through electronic credentials, PINS, and passwords for Grants.gov. Funding Opportunity Announcements which require application submission through Grants.gov require that the individual applying on behalf of an organization first be registered with the Credential Provider at <https://apply.grants.gov/OrcRegister>.

**“Data Universal Numbering System (DUNS) Number”** is a unique nine-character identification number issued by Dun and Bradstreet (D&B). Organizations must have a DUNS number prior to registering in the CCR. Call 1-866-705-5711 to receive one free of charge. <http://www.grants.gov/RequestaDUNS>

**“E-Business Point of Contact (POC)”** is the individual who is designated as the Electronic Business Point of Contact in the CCR registration. This person is the sole authority of the organization with the capability of designating or revoking an individual’s ability to submit grant applications on behalf of their organization through Grants.gov. <http://www.grants.gov/assets/EBIZReqCheck.doc>

**“E-Find”** is a Grants.gov webpage where you can search for Federal Funding Opportunities in FedGrants. <http://www.grants.gov/search/searchHome.do>

**“Financial Assistance”** means the transfer of money or property to an applicant or participant to accomplish a public purpose of support authorized by Federal statute through Grants or Cooperative Agreements and sub-awards. For DOE, it does not include direct loans, loan guarantees, price guarantees, purchase agreements, Cooperative Research and Development Agreements (CRADAs), or any other type of financial incentive instrument.

**“Federally Funded Research and Development Center (FFRDC)”** means a research laboratory as defined by Federal Acquisition Regulation 35.017.

**“Federally-recognized Tribe”** for purposes of this Funding Opportunity Announcement only, means any Indian tribe, band, nation or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688) [43 U.S.C. §§ 1601 et seq.], which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

**“Funding Opportunity Announcement (FOA)”** is a publicly available document by which a Federal agency makes known its intentions to award discretionary grants or cooperative agreements, usually as a result of competition for funds. Funding Opportunity Announcements may be known as program announcements, notices of funding availability, solicitations, or other names depending on the agency and type of program.

**“Grant”** means a Financial Assistance instrument used by DOE to transfer money or property when the principal purpose of the transaction is to accomplish a public purpose of support or stimulation authorized by Federal statute, and no Substantial Involvement is anticipated between DOE and the applicant during the performance of the contemplated activity.

**“Grants.gov”** is the “storefront” web portal which allows organizations to electronically find and apply for competitive grant opportunities from all Federal grant-making agencies. Grants.gov is THE single access point for over 900 grant programs offered by the 26 Federal grant-making agencies. <http://www.grants.gov>

**“Industry Interactive Procurement System (IIPS)”** is DOE’s Internet-based procurement system which allows access to DOE’s business opportunities database, allows user registration and submittal of applications: <http://e-center.doe.gov/>.

**"Key Personnel"** means the individuals who will have significant roles in planning and implementing the proposed project on the part of the applicant and participants, including FFRDCs.

**“Marketing Partner Identification Number (MPIN)”** is a very important password designated by your organization when registering in CCR. The E-Business Point of Contact will need the MPIN to login to Grants.gov to assign privileges to the individual(s) authorized to submit applications on behalf of your organization. The MPIN must have 9 digits containing at least one alpha character (must be in capital letters) and one number (no spaces or special characters permitted).

**"Participant"** for purposes of this Funding Opportunity Announcement only, means any entity, except the applicant substantially involved in a consortium, or other business arrangement (including all parties to the application at any tier), responding to the Funding Opportunity Announcement.

**"Project"** means the set of activities described in an application, State plan, or other document that is approved by DOE for Financial Assistance (whether such Financial Assistance represents all or only a portion of the support necessary to carry out those activities).

**"Project Period"** means the total period of time indicated in an Award during which DOE expects to provide support contingent upon satisfactory progress and available funds. A project period may consist of one or more budget periods and may be extended by DOE.

**“Proposal”** is the term used in IIPS meaning the documentation submitted in response to a Funding Opportunity Announcement. Also see Application.

**“Pure Edge Viewer”** is a small, free program which allows you to access, complete and submit applications electronically and securely through Grants.gov. You will not be able to access, complete, or submit an application through Grants.gov, unless the Pure Edge Viewer is downloaded on your computer. <http://www.grants.gov/DownloadViewer>.

**“Recipient”** means the organization, individual, or other entity that receives a Financial Assistance Award from DOE, is financially accountable for the use of any DOE funds or property provided for the performance of the project, and is legally responsible for carrying out the terms and condition of the award.

**"Selection"** means the determination by the DOE Selection Official that negotiations take place for certain projects with the intent of awarding a Financial Assistance instrument.

**"Selection Official"** means the DOE official designated to select applications for negotiation toward Award under a subject Funding Opportunity Announcement.

**"Substantial Involvement"** means involvement on the part of the Government. DOE's involvement may include shared responsibility for the performance of the project; providing technical assistance or guidance which the applicant is to follow; and the right to intervene in the conduct or performance of the project. Such involvement will be negotiated with each applicant prior to signing any award.



**"Sustainability"** means the ability to maintain and support the existence over the long-term.

**"Total Project Cost"** means all the funds required to complete the effort proposed by the applicant, including DOE funds (including direct funding of any FFRDC) plus all other funds that will be committed by the applicant or participants as cost sharing.

**"Tribal Lands"** for purposes of this Funding Opportunity Announcement only, means Indian reservations; public domain Indian allotments; dependent Indian communities within the borders of the United States whether within the original or subsequent acquired territory thereof, and whether within or outside the boundaries or any State or States; any land or interests in land owned by an Indian tribe, title to which is held in trust by the United States, or is subject to a restriction against alienation under the laws of the United States; land held by incorporated Native Groups, regional corporations, and village corporations under the provisions of the Alaska Native Claims Settlement Act (43 U.S.C. § 1601 et seq.); and lands held in fee simple or under a Federal land lease.

**"Tribe"** for purposes of this Funding Opportunity Announcement only, means any Indian tribe, band, nation or other organized group or community, including any Alaska Native village or regional or village corporation as defined in or established pursuant to the Alaska Native Claims Settlement Act (85 Stat. 688) [43 U.S.C. §§ 1601 et seq.], which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.